

CALIFORNIA CASE MANAGEMENT SYSTEM CERTIFICATION (2002)

MENTAL HEALTH

#	Case Event	Task(s)	Expected Outcome		Function
1.	CASE INITIATION 06/01/01 Welfare and Institutions Code (WIC 6500) petition is filed by the Petitioner (Regional Center through counsel) regarding Respondent, J. Nicholson	Initiate a new case with minimal case information. Enter the following: Case Name: John C. Nichols DOB: 6/16/60	Display case record with minimal information entered	1.2.8	A. Allow cases to be initiated with minimal information.
2.	CASE INITIATION CONTD. 06/01/01 Operator exits the case and generates/enters case number and other information. Operator assigns case to Judge Terrel Bell, Department 2 and schedule Arraignment hearing for 7/5/01 at 10:00 am.	Generate/enter case number. Enter the petition's date of filing. Court location: Los Angeles County Enter courtroom and judge information. Enter scheduled date of arraignment.	Display generated case number. Display date of filing. Display geographic location Display courtroom and judge information. Display scheduled date.	1.2.3 1.3.7 1.2.2 1.2.5 1.2.6	A. Generate/enter a case number according to an administrator-definable format. Track date of filing. Track geographic location information. A. Enable assignment of a case to a: a. Judge; b. Courtroom; c. Judge and courtroom. A. Automatically schedule the first court event or confirm requested date avoiding weekend or holiday conflicts.

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#	Case Event	Task(s)	Expected Outcome		Function
3.	UPDATING CASE 06/04/01 Operator exits case and generates list of incomplete cases. Operator updates case information.	Generate list of incomplete cases. Update case information as follows: W&I 6500 PETITION Name: John C. Nichols. AKA: Jay C. Nichols Jack Barton-Nichols DOB: 6/16/60 Address: LA Regional Center 247 Moreno Way Los Angeles, CA 90012; Residence: 301 Centre Plaza Drive, Monterey Park, CA. 91755 Conservator: Mrs. Charlotte Nichols Address: 333 Robin Lane, Beverly Hills, CA. 90212 Petitioner: LA Regional Center and the Director, Samantha Samuels 247 Moreno Way Los Angeles, CA. 90012 Phone: (213) 468-9680	Display warning and list of incomplete cases. Display updated case information Display first, last and middle names, and suffixes. Display hyphenated names, aliases, DBAs, propers and corporate names. Display multiple addresses.	1.2.10 1.2.9 2.3.1 2.3.3	A. Warn when cases are incomplete. B. Track incomplete cases. Allow cases to be updated with additional information. A. Provide discrete fields for: a. First name; b. Last name; c. Middle name; d. Suffix (e.g., Sr., Jr., III). B. Enable data entry of: a. Hyphenated names; b. Aliases (AKAs); d. Pro pers; f. True names; g. Current names. Enable data entry of multiple addresses for a party.

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4.	ATTORNEY INFORMATION 06/11/01 Operator enters attorney information for petitioner and respondent.	<p>Enter the following attorney information:</p> <p>Attorney for Petitioner, Regional Center: Richard Valderama, Esq. BAR #55123, 135 San Fernando Rd., Glendale, CA. 91101. Phone (818) 231-2525 FAX (818) 231-2555, rvalium@larc.com;</p> <p>2nd Address: C/O LA Regional Center, 247 Moreno Way Los Angeles, CA 90012;</p> <p>General Counsel for Petitioner, LA Regional Center: Sam Crump</p> <p>Attorney for Respondent,</p>	<p>Display attorney information.</p> <p>Display attorney information using State Bar Association number, Unique identifier, Firm's name, Last name.</p> <p>Display attorney association to the case.</p>	<p>2.4.1</p> <p>2.4.2</p>	<p>Enable entry of attorney information in discrete fields for: A. First name; B. Last name; C. Middle name; D. Suffix; E. State Bar number; F. Unique identifier. Note: E and F could be the same.</p> <p>A. Allow for accessibility of the attorney record using: a. State Bar Association number; b. Unique identifier; c. Name of Firm; d. Last Name. B. Allow an operator to use the State Bar Association number, Unique identifier, Firm's name, Last name, to select and associate an existing attorney record to a case rather than reentering attorney information for each case.</p>

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#	Case Event	Task(s)	Expected Outcome		Function
		John C. Nichols: Public Defender Sherry Delgado, DPD, BAR #55120, 6878 San Fernando Rd., Los Angeles, CA 91102, Phone: (818) 255-2525 Fax: (818) 255-2526 Email: sdelgado@aol.com	Display multiple addresses, telephone numbers, fax numbers, and email addresses. Display multiple attorneys' information. Display type of attorney.	2.4.3 2.3.4 2.4.5	Allow for the data entry of multiple: ¹ A. Addresses; B. Telephone numbers; C. Fax numbers; D. E-mail addresses. Enable data entry of multiple attorneys for a party. Track the type of attorney assigned to a case (e.g., private attorney, court- appointed counsel, public defender, etc.).
5.	RECUSAL, SCHEDULING 06/11/01 Judge Terrel Bell recuses himself because of a potential conflict of interest. His niece is dating John Nichols sister. Operator reassigns case to Judge Larry Ho, in Department 21. The operator schedules pre-trial hearing for 7/30/01. But Department 21 has a 3 case limit. Operator over schedules in Department 21.	Enter judge's recusal and reason for recusal. Retrieve, Judge Larry Ho's information and reassign case. Retrieve resource information for Department 21 and preset limits. Over schedule case in Department 21.	Display judicial officer's recusal and reason for recusal. Display scheduled judge, courtroom and preset limits.	4.1.5 4.1.1	A. Track a judicial officer's recusal in a case, and reason for recusal. A. Allow scheduling of hearings based on: a. Resource availability of: 1. Judge; 2. Courtroom; 3. Judge and Courtroom; b. Preset limits.

¹ For the purposes of evaluation, multiple means more than one.

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#	Case Event	Task(s)	Expected Outcome		Function
	Supervisor overrides preset limit and schedules hearing for 07/30/01 in Department 21.	Override warning and schedule date for hearing.	Display warning of over scheduling. Display override capability and scheduled dates.		B. Warn of over scheduling. C. Allow an operator with the appropriate security level to manually override preset limits.
6.	<p>ERRONEOUS CASE NUMBER 06/11/01</p> <p>Operator entered an old case number from a case file (paper). The system either does not recognize the number or warns that the case number already exists. Operator does not have authority to correct the number.</p> <p>Supervisor overrides the warning so that the paper file information can be transferred, either by entering the paper case number or by creating another case record, which is not a duplicate.</p>	<p>Enter the erroneous number for the case.</p> <p>Enter the correct case number.</p> <p>Generate audit trail of case number overrides.</p>	<p>Display the erroneous case number. Display the warning.</p> <p>Display corrected case number.</p> <p>Display audit trail of case number overrides.</p>	1.2.4	<p>A. Include a mechanism for correcting erroneously assigned case numbers with a warning to prevent errors and duplicate case numbers.</p> <p>B. Maintain an audit trail on case number overrides.</p>

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#	Case Event	Task(s)	Expected Outcome		Function
7.	<p>TRANSACTION DATE 07/25/01</p> <p>Operator back dates the transaction and enters adjudication continuance information. However, enters 24/07/01 in error.</p> <p>Public Defender's investigator requests case file. The case file is at the counter and was last issued to the petitioner's attorney for viewing.</p>	<p>Enter incorrect transaction date. Enter correct transaction date. Enter past effective date and current entry date.</p> <p>Retrieve file location and possession information.</p>	<p>Display transaction date. Display current entry date, past effective date. Display the audit trail. Display file location and possession information.</p>	<p>2.1.2</p> <p>6.1.1</p>	<p>A. Validate transaction date. B. Allow an operator with the appropriate security level to enter transactions with current entry date, past effective date, or future effective date. C. Maintain an audit trail of operator transaction date entries. Track case file: A. Location; B. Possession (name of person who has it).</p>
8.	<p>RESCHEDULING 07/30/01</p> <p>At the pre-trial conference, attorney Crump requests adjudication hearing to be held on or before 08/11/01 as he has a trial on another case starting on 08/15/01. By mistake the operator assigns schedules adjudication hearing to Judge Bell on 08/11/01 as he works on weekends.</p>	<p>Enter assignment information. Enter scheduled date.</p>	<p>Display warning of unavailability of recused judicial officer. Display scheduled date.</p>	<p>4.1.5</p> <p>1.2.6</p>	<p>B. Warn operator when an attempt is made to subsequently calendar that case for the same recused judicial officer. A. Automatically schedule the first court event or confirm requested date avoiding holiday and weekend conflicts.</p>

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#	Case Event	Task(s)	Expected Outcome		Function
	Realizing the error, i.e. refusal of Judge Bell, operator keeps the assignment with Judge Ho in Department 21.		Display scheduled date and warning of weekend conflict.		C. Warn of holiday and weekend conflicts.
	Supervisor overrides warning and schedules hearing for 08/11/01.	Override warning and schedule date for hearing.	Display override capability and date.		B. Allow an operator with the appropriate security level to manually override scheduled dates.
	Duration for adjudication is expected to be 3 hours.	Enter duration information.	Display duration information.	4.1.4	A. Allow for the data entry of a user-defined duration for a scheduled event. B. Allow for the display of the user-defined duration on calendars.
		Generate duration information on calendars.	Display calendar with duration.		
		Retrieve attorney history for parties in the case.	Display attorney history information for the parties in the case.	2.4.4	Allow for maintenance of a history of attorneys representing a party in a case.
	Operator generates notices regarding adjudication hearings to all parties.	Generate notices for adjudication hearing.	Display notices.	4.1.3	Allow an operator to generate: A. A notice to appear to selected parties; B. Other user-defined notices or documents to selected parties.
			Display notice with instructions and milestone dates relevant to the case.	1.2.7	Generate a notice with instructions and milestone dates relevant to the case.
		Generate Register of Actions.	Display the register of actions.	2.3.9	Generate the Register of Actions.

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#	Case Event	Task(s)	Expected Outcome		Function
9.	<p>COURT EVENT 08/10/01</p> <p>Adjudication of WIC 6500 petition is held. Parties present are: Judge: Larry Ho; Court Reporter: Roberta Rose Clerk: Kathy Wells. Petitioner's Attorney: Richard Valderama, Esq.; Public Defender: Sherry Delgado for the Respondent; Interpreter: Anna Mokato Investigator: Sam Tanaka.</p> <p>Anna Mokato needs a wheel chair.</p> <p>The PDI report as exhibit 1 and a 6"X4" photograph as</p>	<p>Generate minute order forms.</p> <p>Enter the appearances of Judicial officers, Clerks, Reporters, Attorneys, Interpreters, Parties,</p> <p>Enter or retrieve reporters' information: Roberta Rose, Suite 400, 230 Stanton Blvd. Turlock, CA 95303, Certified Shorthand Reporter License Number 074939</p> <p>Enter Flag for party with description: <i>Requires Indonesian Language interpreter.</i></p> <p>Name of interpreter: <i>Anna Mokato</i></p> <p>Enter flag and description information.</p> <p>Track, on exhibit lists, exhibits that are: Identified</p>	<p>Display minute order forms.</p> <p>Display minute order with record of appearances.</p> <p>Display reporters' information.</p> <p>Display flag and description.</p> <p>Display flag on calendars and court room screens.</p> <p>Display exhibit status information on exhibit lists.</p>	<p>4.4.2</p> <p>5.1.1</p> <p>5.1.2</p> <p>4.1.6</p> <p>6.2.1</p>	<p>Generate minute order forms.</p> <p>Track the appearances of: A. Judicial officers; B. Clerks; C. Reporters; D. Attorneys; E. Interpreters; F. Parties.</p> <p>Track reporters' information: A. Name; B. Business address; C. Certified Shorthand Reporter license number.</p> <p>A. Allow operator to set an indicator or flag, with description of special need, for a party who requires: a. An interpreter.</p> <p>B. Allow for the flags to be displayed on: a. Calendars for court staff only (not for the public); b. Displayed on user-defined (e.g., courtroom) screens.</p> <p>Track on exhibit lists, exhibits that are:</p>

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#	Case Event	Task(s)	Expected Outcome		Function
	<p>exhibit 2 are Identified with physical description, Marked, Admitted, Recorded/Entered; and Stored;</p> <p>Exhibit 3, a shoelace is and Exhibit 4, a ticket stub to the 04/26/01 baseball game between the Chicago Cubs and SF Giants are Returned.</p>	<p>with physical description, Marked, Lodged, Admitted or Refused, Withdrawn, Returned, Recorded/Entered; Stored;</p> <p>Enter the following:</p> <p>Exhibit ID: Generated by the application. Case Number: Generated earlier by the application. Party: John C. Nichols Attorney: George Williams Exhibit type: Report Exhibit Description: Public Defender's Investigative (PDI) report from Mr. Sam Tanaka Location: Department 21 Person holding the exhibit: Clerk Kathy Wells.</p> <p>ADD OTHER EXHIBITS:</p> <p>Exhibit ID: Generated by the application. Case Number: Generated earlier by the application. Party: Johnny Beduya-Smith Jr. Attorney: George Williams Exhibit type: Photograph Exhibit Description: 6" X 4" Photograph taken at Griffith Park depicting respondent and his family. Printed at A1</p>	<p>Display the exhibit information listed in 6.2.2.</p>	6.2.2	<p>A. Identified with physical description; B. Marked; C. Returned; D. Received (Admitted/Entered) or Refused; E. Recorded; F. Stored;</p> <p>Track data elements for: A. Unique exhibit identifier; B. Case number; C. Party; D. Attorney; F. Exhibit type; G. Exhibit description; H. Location; I. Name of person holding exhibit (i.e., possession).</p>

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#	Case Event	Task(s)	Expected Outcome		Function
	<p>Reporter Roberta Rose has a mild heart attack and is taken to the Emergency Department. The hearing is recorded on digital audiotape no. 453DAT.</p> <p>Disposition: Respondent is committed with a 12- month review. Operator updates case information and sets a tickler reminder for 05/01/02.</p> <p>Court seals the PDI report and Charlotte Nichol's living trust document and its contents confidential.</p>	<p>Express Photo on La Cienega Blvd. Location: Department 21 Person holding the exhibit: Clerk Kathy Wells.</p> <p>Enter audio recording information in compliance with Rule of Court 980.5</p> <p>Enter disposition information.</p> <p>Set up tickler mechanism for the review date.</p> <p>Enter updated case information.</p> <p>Retrieve due and overdue events.</p> <p>Retrieve the respective case records.</p>	<p>Display audio recording information in compliance with Rule of Court 980.5</p> <p>Display dispositions.</p> <p>Display tickler mechanism.</p> <p>Display the Register of Actions.</p> <p>Display the due and overdue events.</p> <p>Display the respective case records.</p>	<p>5.1.7</p> <p>51.5</p> <p>2.2.3</p> <p>2.3.9</p> <p>2.2.2</p>	<p>Enable compliance with Rule of Court 980.5 for audio recording of courtroom procedures.</p> <p>Track: A. Dispositions.</p> <p>Provide a tickler mechanism.</p> <p>Generate the Register of Actions.</p> <p>A. Identify and display a list of cases with due and overdue events. B. Provide access to the respective case records.</p>
10.	CONFIDENTIAL AND SEALED RECORDS 08/13/01				

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#	Case Event	Task(s)	Expected Outcome		Function
	<p>Attorney George Williams, representing Mike Fernandez, Charlotte Nichols' ex-husband, requests a copy of the PDI report and Charlotte Nichol's living trust document.</p> <p>Operator informs that the PDI report was sealed by the court and the living trust document is confidential, since Mike Fernandez is considered a member of the public.</p>	Retrieve confidential and sealed status of records.	Display the confidential and sealed status of records.	2.5.4	<p>A. Restrict access to confidential records.</p> <p>B. Restrict access to sealed records.</p>

MISCELLANEOUS CASE EVENTS

Case Event	Task(s)	Expected Outcome		Function
PARTY AND ATTORNEY RECORDS MANAGEMENT	Demonstrate the supervisory override abilities.	Display override abilities: Re-activating cases, deleting cases, resetting or clearing actions in cases, and removing dispositions.	2.2.6	Allow an operator with the appropriate security level to: A. Reactivate closed cases; B. Delete cases; C. Reset or clear actions in a case; E. Remove dispositions.
	Search records using fields listed in 2.5.2	Display search capabilities using field listed in 2.5.2. Display search results.	2.5.2	Allow search of records by: A. Case number; B. Party; C. AKA; D. DBA; E. Attorney of record; F. Names beginning with....
		Display consolidated cases and their status of consolidation.	2.2.4	A. Consolidate cases. B. Indicate consolidation status on the case record of each case involved.
	Retrieve suspended and restored status information of cases.	Display suspended and restored status of cases.	2.2.9	A. Track cases that are: a. Suspended; b. Restored.
	Attempt activity on a suspended case.	Display warning when activity on a suspended case is attempted.		B. Generate a warning when activity on a suspended case is attempted.

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Case Event	Task(s)	Expected Outcome		Function
EXHIBIT MANAGEMENT	Demonstrate how the application tracks the data elements listed in 7.2.2 I through O.	Display the data elements listed in 7.2.2 I through O.	6.2.2	Track data elements for: I. Date(s) of appeal; J. Date(s) of entry of judgment; K. Date(s) of final disposition; L. Date(s) of remittitur; M. Date(s) of release; N. Date(s) of destruction; O. Date(s) of Notice of Destruction.
	Retrieve exhibit lists and sort by party, exhibit identifier and exhibit type.	Display exhibit lists sorted by party, exhibit identifier and exhibit type.	6.2.3	A. Enable exhibit lists, to be sorted by: a. Party; b. Exhibit identifier; c. Exhibit type. B. Allow an operator with the appropriate security level to modify exhibit lists.
	Demonstrate the exhibit management facility's capability to Add, Change, Relocate, Return, Dispose, and Withdraw exhibits.	Display the exhibit management facility's capability to Add, Change, Relocate, Return, Dispose, and Withdraw exhibits.	6.2.4	Include an exhibit management facility to: A. Add; B. Change; C. Relocate; D. Return; E. Destroy exhibits.
	Demonstrate the ability to use administrator-definable criteria for determining retention periods.	Display the ability to use administrator-definable criteria for determining retention periods.	6.2.5	Enable the establishment of criteria for exhibit retention periods.

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Case Event	Task(s)	Expected Outcome		Function
	Generate the Notice and Order for Destruction forms and Receipts for return of exhibits.	Display the Notice and Order for Destruction forms and Receipts for return of exhibits.	6.2.6	Generate: A. Notice of Destruction; B. Order for Destruction; C. Receipts for return of exhibits.
	Generate Exhibit Inventory report, Chain of Custody report, and Chain of Evidence report.	Display Exhibit Inventory report, Chain of Custody report, and Chain of Evidence report.	6.2.7	Generate exhibit: A. Inventory report; B. Chain of Custody (location and possession) report; C. Chain of Evidence (status) report.
RESOURCE AND CALENDAR MANAGEMENT	Retrieve calendar information with the scheduled and available time slots.	Display calendar information with the scheduled and available time slots.	4.2.1	Display calendar information, including scheduled and available time slots for each day.
	Generate daily, weekly and monthly schedules based on departments.	Display daily, weekly and monthly schedules based on departments.	4.2.2	A. Allow an operator to view schedules by departments in the following formats: a. Daily; b. Weekly; c. Monthly. B. Allow an operator to view schedules by judicial officers in the following formats: a. Daily; b. Weekly; c. Monthly.
	Generate daily, weekly and monthly schedules based on judicial officers.	Display daily, weekly and monthly schedules based on judicial officers.		
	Modify time slots and schedules for departments, judicial officers and courtroom clerks.	Display time slots and schedules for departments, judicial officers and courtroom clerks.	4.2.3	Allow operator to modify: A. Department schedules; B. Judicial officer schedules; C. Time slots.

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Case Event	Task(s)	Expected Outcome		Function
	Demonstrate the ability to define calendar contents and formats. Demonstrate the ability to support multiple calendar formats and templates.	Display calendar contents and formats. Display multiple calendar formats and templates. Display rescheduled hearing information. Display reassignment information.	4.3.1 4.1.2	A. Allow operators to define a. Calendar contents; b. Formats. B. Support multiple calendar a. Format; b. Templates. A. Allow rescheduling (same judge, different date) of one or more hearings from a calendar to one or more other calendars. B. Allow reassignment (different judge, same or different date) of one or more hearings from a calendar to one or more other calendars.
REPORTING	Generate reports for Interpreter services used; Language translated; and Cases in which interpreters have served.	Display reports for Interpreter services used; Language translated; and Cases in which interpreters have served.	5.1.3	Generate a report of: A. Interpreter services used; B. Language translated; C. Cases in which interpreters have served.
CASE FILES STORAGE MANAGEMENT	Retrieve status of cases marked as confidential. Retrieve status of cases marked as sealed.	Display cases marked as confidential. Display cases marked as sealed.	6.1.2	A. Flag cases marked confidential. B. Flag cases marked sealed. Note: Party name or caption derived from party name(s) for such case records should not be displayed to the public.

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Case Event	Task(s)	Expected Outcome		Function
	Identify case files or filings for archiving, destruction and purging over the period between 01/01/02 and 12/31/02.	Display reports of case files or filings for archiving, destruction and purging.	6.1.3	Track and produce reports of case files or filings based on administrator-definable retention periods for: A. Archival; B. Destruction; C. Purging.
	Generate Notice of Intent to Destroy Superior Court Records	Display Notice of Intent to Destroy Superior Court records	6.1.4	A. Produce a Notice of Intent to Destroy Superior Court Records in accordance with California Rules of Court.
	Create and update a Destruction of Cases index	Display Index for Destruction of Cases		B. Create and update an Index of Destruction of Cases.